LAP

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U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/589,533	David Wynick	68150.000003

INTERNATIONAL APPLICATION NO.	
PCT/GB05/00188	
I.A. FILING DATE	PRIORITY DATE
01/18/2005	02/17/2004

68150.3

21967
HUNTON & WILLIAMS LLP
INTELLECTUAL PROPERTY DEPARTMENT
1900 K STREET, N.W.
SUITE 1200
WASHINGTON, DC 20006-1109

RECEIVED
MAY 11 2007
8697
Hunton & Williams LLP

CONFIRMATION NO. 8463

371 FORMALITIES LETTER

OC000000023792943

Date Mailed: 05/10/2007

NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495)

- Indication of Small Entity Status
- Priority Document
- Copy of the International Application filed on 08/16/2006
- Copy of the International Search Report filed on 08/16/2006
- Preliminary Amendments filed on 08/16/2006
- Information Disclosure Statements filed on 08/16/2006
- Biochemical Sequence Diskette filed on 08/16/2006
- Oath or Declaration filed on 01/04/2007
- Biochemical Sequence Listing filed on 01/04/2007
- U.S. Basic National Fees filed on 01/04/2007
- Priority Documents filed on 08/16/2006

5-11-07
ACTION CODE: Missing Reqmts - B/Sequence Lis
BASE DATE: 5-4-07
DUE DATE: 7-4-07
DEADLINE: 12-4-07
ATTORNEY'S: LHP

Applicant's response filed 01/04/2007 is hereby acknowledged. The following requirements set forth in the NOTIFICATION of MISSING REQUIREMENTS mailed 05/04/2007 have not been completed.

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Additional claim fees of **$2505** as a small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.

- Surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of $65 was not received.

SUMMARY OF FEES DUE:

Total additional fees required for this application is **$2570** for a Small Entity:

- **$65** Surcharge.

- The paper or compact disc copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e). Applicant must provide a substitute paper or compact disc copy of the "Sequence Listing", **as well as an amendment specifically directing its entry into the application** OR a substitute computer readable form (CRF) copy of the "Sequence Listing". These two items must be the same. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).

- Total additional claim fee(s) for this application is **$ 2505**

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- **For Rules Interpretation, call (571) 272-0951**
- **For Patentin Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.**
- **Send e-mail correspondence for Patentin Software Program Help @ ebc@uspto.gov**

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.
https://sportal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html

For more information about EFS-Web please call the USPTO Electronic Business Center at **1-866-217-9197** or visit our website at http://www.uspto.gov/ebc.

If you are not using EFS-Web to submit your reply, you must include a copy of this notice.

MAMIE P PERSON

Telephone: (703) 308-9140 EXT 227

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/589,533	PCT/GB05/00188	68150.000003

FORM PCT/DO/EO/916 (371 Formalities Notice)

STIC Biotechnology Systems Branch

RAW SEQUENCE LISTING ERROR REPORT

The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

Application Serial Number: 10/589,533
Source: IFWP
Date Processed by STIC: 8/28/06

THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS.
PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:
1) **INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANT, WITH A NOTICE TO COMPLY or,**
2) **TELEPHONING APPLICANT AND FAXING A COPY OF THIS PRINTOUT, WITH A NOTICE TO COMPLY**

FOR CRF SUBMISSION AND PATENTIN SOFTWARE QUESTIONS, PLEASE CONTACT MARK SPENCER, TELEPHONE: 571-272-2510; FAX: 571-273-0221

TO REDUCE ERRORED SEQUENCE LISTINGS, **PLEASE** USE THE **CHECKER VERSION 4.4.0 PROGRAM**, ACCESSIBLE THROUGH THE U.S. PATENT AND TRADEMARK OFFICE WEBSITE. SEE BELOW FOR ADDRESS:

http://www.uspto.gov/web/offices/pac/checker/chkrnote.htm

Applicants submitting genetic sequence information electronically on diskette or CD-Rom should be aware that there is a possibility that the disk/CD-Rom may have been affected by treatment given to all incoming mail.
Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom.
Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:

1. EFS-Bio (<http://www.uspto.gov/ebc/efs/downloads/documents.htm>, **EFS Submission User Manual** - ePAVE)
2. **U.S. Postal Service:** Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450
3. **Hand Carry, Federal Express, United Parcel Service, or other delivery service (EFFECTIVE 01/14/05):** U.S. Patent and Trademark Office, Mail Stop Sequence, Customer Window, Randolph Building, 401 Dulany Street, Alexandria, VA 22314

Revised 01/10/06

Raw Sequence Listing Error Summary

ERROR DETECTED	SUGGESTED CORRECTION	SERIAL NUMBER: 10/589,533

ATTN: NEW RULES CASES: PLEASE DISREGARD ENGLISH "ALPHA" HEADERS, WHICH WERE INSERTED BY PTO SOFTWARE

1	Wrapped Nucleics Wrapped Aminos	The number/text at the end of each line "wrapped" down to the next line. This may occur if your file was retrieved in a word processor after creating it. Please adjust your right margin to .3; this will prevent "wrapping."
2	Invalid Line Length	The rules require that a line not exceed 72 characters in length. This includes white spaces.
3	Misaligned Amino Numbering	The numbering under each 5th amino acid is misaligned. Do not use tab codes between numbers; use space characters, instead.
4	Non-ASCII	The submitted file was not saved in ASCII(DOS) text, as required by the Sequence Rules. Please ensure your subsequent submission is saved in ASCII text.
5	Variable Length	Sequence(s)____contain n's or Xaa's representing more than one residue. Per Sequence Rules, each n or Xaa can only represent a single residue. Please present the maximum number of each residue having variable length and indicate in the <220>-<223> section that some may be missing.
6	PatentIn 2.0 "bug"	A "bug" in PatentIn version 2.0 has caused the <220>-<223> section to be missing from amino acid sequences(s) _____. Normally, PatentIn would automatically generate this section from the previously coded nucleic acid sequence. Please manually copy the relevant <220>-<223> section to the subsequent amino acid sequence. This applies to the mandatory <220>-<223> sections for Artificial or Unknown sequences.
7	Skipped Sequences (OLD RULES)	Sequence(s) _____ missing. If intentional, please insert the following lines for each skipped sequence: (2) INFORMATION FOR SEQ ID NO:X: (insert SEQ ID NO where "X" is shown) (i) SEQUENCE CHARACTERISTICS: (Do not insert any subheadings under this heading) (xi) SEQUENCE DESCRIPTION:SEQ ID NO:X: (insert SEQ ID NO where "X" is shown) This sequence is intentionally skipped Please also adjust the "(ii) NUMBER OF SEQUENCES:" response to include the skipped sequences.
8	Skipped Sequences (NEW RULES)	Sequence(s) _____ missing. If intentional, please insert the following lines for each skipped sequence. <210> sequence id number <400> sequence id number 000
9	Use of n's or Xaa's (NEW RULES)	Use of n's and/or Xaa's have been detected in the Sequence Listing. Per 1.823 of Sequence Rules, use of <220>-<223> is MANDATORY if n's or Xaa's are present. In <220> to <223> section, please explain location of n or Xaa, and which residue n or Xaa represents.
10	Invalid <213> Response	Per 1.823 of Sequence Rules, the only valid <213> responses are: Unknown, Artificial Sequence, or scientific name (Genus/species). <220>-<223> section is required when <213> response is Unknown or is Artificial Sequence. (see item 11 below)
11	Use of <220>	Sequence(s) ___ missing the <220> "Feature" and associated numeric identifiers and responses. Use of <220> to <223> is MANDATORY if <213> "Organism" response is "Artificial Sequence" or "Unknown." Please explain source of genetic material in <220> to <223> section or use "chemically synthesized" as explanation. (See "Federal Register," 06/01/1998, Vol. 63, No. 104, pp. 29631-32), also Sec. 1.823 of Sequence Rules
12	PatentIn 2.0 "bug"	Please do not use "Copy to Disk" function of PatentIn version 2.0. This causes a corrupted file, resulting in missing mandatory numeric identifiers and responses (as indicated on raw sequence listing). Instead, please use "File Manager" or any other manual means to copy file to floppy disk.
13	Misuse of n/Xaa	"n" can only represent a single nucleotide; "Xaa" can only represent a single amino acid

IFWP

RAW SEQUENCE LISTING
PATENT APPLICATION: US/10/589,533

DATE: 08/28/2006
TIME: 10:35:51

Input Set : F:\68150.3 Sequence Listing.txt
Output Set: N:\CRF4\08282006\J589533.raw

```
     3 <110> APPLICANT: David Wynick
     5 <120> TITLE OF INVENTION: Galanin Receptors and Brain Injury
     7 <130> FILE REFERENCE: 68150.000003
C--> 9 <140> CURRENT APPLICATION NUMBER: US/10/589,533
    10 <141> CURRENT FILING DATE: 2006-08-16
    12 <150> PRIOR APPLICATION NUMBER: PCT/GB2005/000188
    13 <151> PRIOR FILING DATE: 2005-01-18
    15 <150> PRIOR APPLICATION NUMBER: GB 0403509.3
    16 <151> PRIOR FILING DATE: 2004-02-17
    18 <160> NUMBER OF SEQ ID NOS: 2
    20 <170> SOFTWARE: PatentIn Ver. 2.1
```

Does Not Comply
Corrected Diskette Needed

ERRORED SEQUENCES

invalid response (see item 10 on Error Summary Sheet)

```
    22 <210> SEQ ID NO: 1
    23 <211> LENGTH: 10
    24 <212> TYPE: PRT
    25 <213> ORGANISM: Synthetic
E--> 27 <400> SEQUENCE: 196 1 <- change to
    28 Trp Thr Leu Asn Ser Ala Gly Tyr Leu Leu
    29  1               5                  10
```

(same error in Sequence 2)

VERIFICATION SUMMARY DATE: 08/28/2006
PATENT APPLICATION: US/10/589,533 TIME: 10:35:52

Input Set : F:\68150.3 Sequence Listing.txt
Output Set: N:\CRF4\08282006\J589533.raw

L:9 M:270 C: Current Application Number differs, Replaced Current Application Number
L:27 M:212 E: (34) Invalid or duplicate Sequence ID Number, SEQUENCE ID NOS:1 differs:196

PATENT

☐ PROVISIONAL
☒ UTILITY

☐ DESIGN
☐ PCT

Application No.: 10/589,533
Client/Matter No.: 68150.000003
Inventor(s): David WYNICK
Title: GALANIN RECEPTORS AND BRAIN INJURY

Date: May 15, 2007
Client: Neurotargets
Atty/Sec.: LHP/CJN:cdh

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

- ☒ Response to Notification of Missing Requirements Under 35 U.S.C. § 371 in the U.S. Designated/Elected Office (DO/EO/US)
- ☒ Copy of Notification of Missing Requirements
- ☒ Copy of Withdrawal of Previously Sent Notice
- ☒ Second Preliminary Amendment
- ☒ Executed Declaration and Power of Attorney
- ☒ Substitute Sequence Listing and Statement Under 37 C.F.R. § § 1.821 and 1.825
- ☒ CD Rom containing Sequence Listing
- ☒ Paper copy of Sequence Listing
- ☒ Check No. 210300 7 In The Amount Of $775.00
- ☒ Check No. 210300 8 In The Amount Of $65.00
- ☒ Return Receipt Postcard

OIPE IAP44
MAY 15 2007
PATENT & TRADEMARK OFFICE

DOCKETED * 5/16/07
BT 5/16/07